Monitoring Report

Instructions

Version 1.8 ● 31 DEC 2012

Project Planning
REVIEW GATE

Monitoring Report Version History

Current Framework tools are available on the Framework Web site.

Release Date	Description
31-Dec-2012	Version 1.8 released. Revised Instructions and Template to reflect changes recommended by the Framework Change Advisory Board (CAB) and approved by DIR (Change request 68).
18-Nov-2011	Version 1.7 released. Revised Instructions to reflect changes recommended by the Framework Change Advisory Board (CAB) and approved by DIR (Change request 49).
30-Jun-2009	Version 1.6 released. Revised Instructions to reflect an emergency change approved by DIR (Change request 49).
31-Oct-2008	Version 1.5 released. Revised Instructions and Template to reflect changes recommended by the Framework Change Advisory Board (CAB) and approved by DIR (Change request 45).
30-May-2008	Version 1.4 released. Revised Instructions to reflect an emergency change approved by DIR (Change requests 37 and 40).
1-Sep-2007	Version 1.3 released. Revised Template to reflect changes recommended by the Framework Change Advisory Board (CAB) and approved by DIR (Change request 34).
31-May-2007	Version 1.2 released. In template, added Reporting Period fields to report cover page.
13-Oct-2006	Version 1.1 released. In Instructions and Template, Section 2.1, expanded the “Cost Expenditures to Date” project item to include Total project cost and Fiscal project cost.
14-Oct-2005	Version 1.0 Instructions and Template released

Contents

Introduction

State leaders need visibility into the overall status of major technology projects that are initiated across state government. Once projects have been formally initiated and resources are being expended to deliver those projects, state leaders rely on the Quality Assurance Team (QAT) to monitor project activities against stated project objectives. From a statewide perspective, project monitoring surfaces when deviations from project plans occur and provides information to assess the impact of those deviations on the overall project delivery.

The Texas Project Delivery Framework (Framework) includes a Monitoring Report to provide a consistent method for presenting project status information to the QAT. The purpose of the state-level monitoring process is to help ensure projects have the means to achieve stated objectives. The state-level monitoring process is also intended to aid the agency in identifying areas of high risk and possible failure points for projects.

Critical project information is reported as part of the monitoring process. Specific data is presented by the agency to provide assurance to state leaders that project teams will deliver projects on time and within budget, and that the projects deliver the promised benefits. Project information provided through the monitoring process is used to detect:

- Processes or outputs that deviate from the plans
- Risks that are identified as part of the risk management planning
- Processes that do not effectively address product and project quality
- Areas where costs are not in accordance with the project budget

Use of the Monitoring Report

Overview

Within the Framework, the Monitoring Report is a key deliverable of the Project Planning review gate. Review the QAT Policy and Procedures Manual for information about state-level monitoring as one of the quality assurance review major processes. Refer to the QAT Web site (qat.state.tx.us) for information.

A Monitoring Report must be submitted to the QAT based on the reporting frequency communicated by the QAT. A project approval letter is forwarded by the Legislative Budget Board (LBB) to the agency if the project is formally approved as part of the Legislative Appropriations Request (LAR) process. Refer to the LBB Web site (www.lbb.state.tx.us) for LAR information. An initial project monitoring letter is also forwarded by the QAT to the agency if the project will be monitored at the state level following QAT project approval. The QAT determines on a project-by-project basis if an approved LAR/QAT project will be monitored.

A Monitoring Report must be submitted to the QAT in response to the initial monitoring letter forwarded by the QAT to the agency. The initial monitoring letter states the default reporting frequency for the project. The default reporting period may be quarterly, every two months, every six months, or some other schedule as determined by the QAT. A completed Monitoring Report must be submitted to the QAT based on the frequency specified in the initial monitoring letter.

A Monitoring Report must be submitted for the entire project life cycle through closure, regardless of the reason for closure. Once the project concludes and/or ends for any reason, the Monitoring Report is no longer required. Based on project closure, a Monitoring Report must be submitted until information included in the report does not change. For example, total cost expended on the project may change following project closure so submission of the Monitoring Report may still be necessary.

Monitoring processes and structures for projects at the agency level are assumed to exist. Agency level project monitoring information should be used to complete the Monitoring Report. For example, a Project Status tool used to present project information to stakeholders should be used as content for the Monitoring Report.

All Monitoring Report information should be responded to as completely and accurately as possible. Although all sections of the Monitoring Report are applicable to all projects, a response may not always be possible. In those instances, ‘not applicable’ should be stated and a brief explanation of why the particular section does not apply must be provided.

For more information regarding the Monitoring Report submission process (e.g., contact names, delivery method), refer to the Framework Web information.

Applicability

A Monitoring Report must be used for any project classified as a major information resources project that is identified by the QAT as a project that should be monitored at the state level. The QAT communicates whether a major information resources project will be monitored.

Governance and Scope

The Monitoring Report should be completed by the Project Manager designated for the project with close collaboration with the Executive Sponsor and Technology Sponsor. The Executive Sponsor must identify a Technology Sponsor. The Technology Sponsor is typically the Information Resources Manager (IRM), or the IRM may choose to designate another technology expert within the agency. The Executive Sponsor and Technology Sponsor should accept responsibility for the project information included in the Monitoring Report.

The Project Manager has responsibility for ensuring the Monitoring Report is used and approved, and that it contains accurate project information. It is highly recommended the approval signatures include, at a minimum, the Executive Sponsor and Technology Sponsor. The Project Manager also has responsibility for working with the QAT by responding to any follow-up activity initiated because of the monitoring process.

The Monitoring Report should be used in conjunction with agency level governance structures and practices for project level monitoring and control. For example, consistent signature approval may be identified and used for Framework deliverables submitted to statewide entities.

Section 1. General Information

Complete the general background information for the project. Specify the reporting period based on the default reporting frequency as determined by the QAT. The contact individual and Project Manager may be the same person.

Section 2. Project Cost, Schedule, and Accomplishments

2.1 Cost

For each item related to cost, provide project cost information based on the following:

- **Initial Estimated Project Cost**—Initial project cost provided in the Project Plan
- **Last Reported Estimated Project Cost**—Project cost reported during the last submitted Monitoring Report
- **Current Estimated Project Cost**—Current estimate of project cost managed through the Project Plan
- **Explanation of Variance between Last Reported and Current Project Cost**—Variance between last submitted project cost and the current estimated project cost
- **Project Cost to Date (Fiscal)**—Total cost expended on the project for the current fiscal year
  Project Cost to Date (Total)—Total cost expended on the project
- **Description of Cost Tracking Mechanism**—Description of method used to track project cost

2.2 Project Schedule

For each item related to the project schedule, provide project schedule information based on the following:

- **Initial Planned Project Start and Finish Dates**—Initial start and finish dates (mm/dd/yy)
  Baseline Date—Date (mm/dd/yy) the initial start and finish dates were baselined
- **Last Reported Project Start and Finish Dates**—Project start and finish dates (mm/dd/yy) reported during the last submitted Monitoring Report
  Baseline Date—Date (mm/dd/yy) the last reported start and finish dates were baselined
- **Current Estimated Project Start and Finish Dates**—Current estimate for project start and finish dates (mm/dd/yy)
  Baseline Date—Date (mm/dd/yy) the current estimated start and finish dates were baselined

- **Explanation of Variance between Last Reported and Current Start and Finish Dates**—Variance between last submitted start and finish dates and the current estimated start and finish dates
- **Estimated Percentage of Project Complete**—An estimate, expressed as a percent, of the amount of work that has been completed on project activities or work breakdown structure components
- **Description of Method Used to Track Progress**—Description of method used to track project progress
- **Description of Reporting Mechanism Used to Ensure that Project Participants and Management are Aware of the Project's Progress**—Description of method used to inform project participants and stakeholders of the project's progress

2.3 Accomplishments

Describe key accomplishments achieved for the project during this reporting period and planned accomplishments for the next reporting period. Project accomplishments should summarize significant outcomes achieved as a result of successfully completing project activities. For example, resolution of a high number of project issues, successful migration to use of an emerging technology, and seamless transition during replacement of the Project Manager are examples of accomplishments. Note project accomplishments exclude project milestones and deliverables which are identified in the next section.

Section 3. Milestones

Provide any background information that may be needed to clarify the milestone information provided in this section. Include any information that may be necessary to further understand the milestones from an overall reporting perspective for this section. For example, describe unique data conditions that may cause a percentage complete for a milestone to be reported as more than 100%.

List the project's major milestones, and the planned and actual start and finish dates (mm/dd/yy). Specifically include deliverables in relation to the milestones as identified in the Project Plan. Identify the percent complete for each deliverable. Note that major milestones and deliverables should include all milestones and deliverables, and not just milestones and deliverables reflected for this monitoring reporting period.

Section 4. Risks

Provide any background information that may be needed to clarify the project risk information provided in this section. Include any information that may be necessary to further understand the project risks from an overall reporting perspective for this section. For example, describe if an organizational unit responsible for risk mitigation for the project was restructured.

List the current highest risk factors for the project. The highest risk factors should be identified based on the risk identification, assessment, and management approach outlined as part of risk management project planning activities. For each high risk, describe any actions to mitigate the risk. Refer to the Risk Management Plan Instructions for additional information.

Section 5. Project Changes

Provide any background information that may be needed to clarify the project change information provided in this section. Include any information that may be necessary to further understand the project changes from an overall reporting perspective for this section. For example, describe an extensive technology change that was imposed for all technology projects because of a security threat.

Describe major project changes such as changes to the project scope, technology, budget, system requirements, software requirements, or schedule that occurred during this reporting period. Consider the overall impact to the project when determining if a project change is major and whether the change should be reported. Refer to the Project Plan Instructions for a description of potential project changes. For each project change, describe actions for managing the project change.

Section 6. Project Issues

Provide any background information that may be needed to clarify the project issues identified in this section. Include any information that may be necessary to further understand the project changes from an overall reporting perspective for this section. For example, describe an extensive technology change that was imposed for all IT projects because of a security threat. Include any information that may be necessary to further understand the project issues from an overall reporting perspective for this section. For example, describe a major organizational change within the agency that may have caused one or more of the identified issues.

Identify major issues that are currently being addressed during this reporting period. Exclude issues that have already been resolved. Consider the overall impact to the project when determining if a project issue is major and whether the issue should be reported. For each project issue, describe actions for managing the project issue.